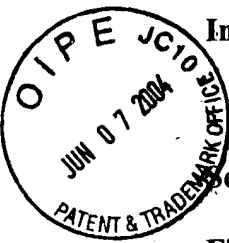


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re the Application of:

Ronald A. KATZ

Serial No.: 09/835,146

Filed: April 13, 2001

For: VOICE-DATA TELEPHONIC  
INTERFACE CONTROL SYSTEM

Group Art Unit: 2643

Examiner: S. Woo

Attorney Docket No.: 6646-114N8

Customer No.: 50-1636

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7/9/04  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Technology Center 2600

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. 1.97(c)**

Sir:

Further to Forms PTO-1449 submitted before (Set I through SUPPLEMENTAL XIII), Applicant is submitting additional Forms PTO (SUPPLEMENTAL XIV-XV) citing new references that were recently brought to Applicant's attention. The references may or may not be "material" pursuant to 37 C.F.R. § 1.56. Applicant requests the Examiner to make an independent determination. The undersigned brings to the Examiner's attention that she has not received initialed copies of the Forms PTO-1449 captioned Set I and Supplemental I-XI submitted for the subject application.

Pursuant to 37 CFR 1.52(e), Applicant encloses two (2) compact discs. One of the compact discs is the original and labeled "Copy 1" and the other is identical and labeled "Copy 2." Pursuant to 37 CFR 1.52(e)(3), Applicant encloses an information data sheet of the references cited on Forms PTO 1449 (IV-XV) as well as scanned copies (in PDF format) of all the references listed.

CERTIFICATE OF MAILING UNDER 37 CFR §1.8

I hereby certify that this document (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

June 3, 2004  
Date

Clarissa Lo

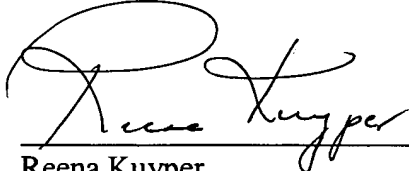
06/08/2004 MAIL ROOM 00000008 501636 09835146  
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Application No.: 09/835,146  
Supplemental IDS dated: September 23, 2003

Applicant requests that under 37 C.F.R. 1.97(c), the accompanying Forms PTO-1449 that list the references should be placed in this file to make it available for future access by others. This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§ 1.97(c) and 1.98. The Examiner is hereby authorized to charge the requisite fee (indicated in the accompanying transmittal) and any deficiencies or any additional fee required by this paper to A2D L.P.'s Deposit Account No. 50-1636.

Respectfully submitted,

Dated: June 3, 2004

By:   
Reena Kuyper  
Reg. No. 33,830

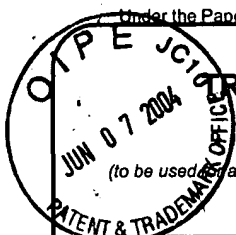
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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number 09/835,146

Filing Date April 13, 2001

First Named Inventor Ronald A. KATZ

Art Unit 2643

Examiner Name S. Woo

Attorney Docket Number 6646-114N8

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Total Number of Pages in This Submission

## ENCLOSURES (Check all that apply)

- |  |   |   |
|--|---|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form                     | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> After Allowance communication to Technology Center (TC)        |
| <input checked="" type="checkbox"/> Fee Attached                             | <input type="checkbox"/> Licensing-related Papers   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences     |
| <input type="checkbox"/> Amendment/Reply                                     | <input type="checkbox"/> Petition   | <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition to Convert to a Provisional Application   | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                           | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address   | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                           | <input type="checkbox"/> Terminal Disclaimer  | <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):         |
| <input type="checkbox"/> Express Abandonment Request                         | <input type="checkbox"/> Request for Refund   |   |
| <input checked="" type="checkbox"/> Information Disclosure Statement         | <input checked="" type="checkbox"/> CD, Number of CD(s) <u>2</u>  |   |
| <input type="checkbox"/> Certified Copy of Priority Document(s)              | <b>Remarks</b><br>Form PTO-1449 Supplemental XIV - XV (7 pgs); Information data sheet pursuant to 37 CFR 1.52(e)(3) for Disc 1 of 1 (3 pgs); Return postcard. |   |
| <input type="checkbox"/> Response to Missing Parts/Incomplete Application    |   |   |
| <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |   |

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Reena Kuyper, Registration No. 33,830
Signature	
Date	June 3, 2004

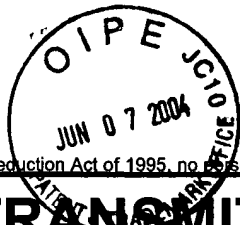
## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Clarissa Lo
Signature	
Date	June 3, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 180.00

## Complete if Known

Application Number 09/835,146

Filing Date April 13, 2001

First Named Inventor RONALD A. KATZ

Examiner Name S. Woo

Art Unit 2643

Attorney Docket No. 6646-114N8

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## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number 50-1636

Deposit Account Name A2D, LP

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	

SUBTOTAL (1) (\$ )

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below		Fee Paid
Total Claims	<input type="text"/>	-20** =	<input type="text"/>	X	<input type="text"/>	<input type="text"/>
Independent Claims	<input type="text"/>	- 3** =	<input type="text"/>	X	<input type="text"/>	<input type="text"/>
Multiple Dependent						<input type="text"/>

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple dependent claim, if not paid	
1204	86	2204	43	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ )

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	180.00
1809	770	2809	385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 180.00

## SUBMITTED BY

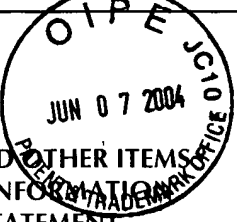
(Complete if applicable)

Name (Print/Type) Reena Kuyper Registration No. 33,830 Telephone 310-247-2860  
Signature Date June 3, 2004

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<b>FORM PTO-1449</b>  <b>SUPPLEMENTAL XIV</b>  <b>LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)		<b>ATTY. DOCKET NO.</b> 6646-114N8	<b>SERIAL NO.</b> 09/835,146
		<b>APPLICANT:</b> RONALD A. KATZ	
		<b>FILING DATE:</b> April 13, 2001	<b>GROUP:</b> 2643

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
		3,555,198	01/12/71	Stepan	_____	_____	_____
		4,985,913	01/15/91	Shalom et al.	_____	_____	_____
		4,951,310	08/21/90	Honda et al.	_____	_____	_____
		5,029,196	07/02/91	Morganstein	_____	_____	_____
		5,841,837	11/24/98	Fuller et al.	_____	_____	_____

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)		
		General Trading Co., Inc., VoiceStar Proposal Jan. 29, 1988 (Vz Cal 339367-339414)
		Gitlin, Bob, "Impersonal Touch? Risk Management Resources' Bottom Line Outweighs Criticism of Voice Processing," Communications News, Feb. 1, 1990, Vol. 27, No. 2.
		Periphonics Corporation, Bank of American Versatel Home Banking System, Sept. 2, 1980 (Vz Cal 339415-339456)

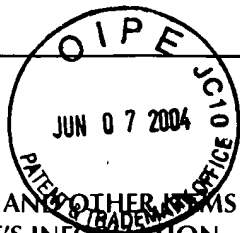
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EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant	

<b>FORM PTO-1449</b>  <b>SUPPLEMENTAL XV</b>  <b>LIST OF PATENTS AND OTHER INFORMATION FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b> 6646-114N8	<b>SERIAL NO.</b> 09/835,146
	<b>APPLICANT:</b> RONALD A. KATZ	
	<b>FILING DATE:</b> April 13, 2001	<b>GROUP:</b> 2643



U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
		3,622,995	11/23/1971	Dilks	-----	-----	3/21/1969
		3,725,596	4/3/1973	Maxon et al.	-----	-----	11/12/1971
		3,725,597	4/3/1973	Streisand	-----	-----	7/1/1971
		4,438,824	3/27/1984	Mueller-Schloer	-----	-----	4/22/1981
		4,484,031	11/20/1984	Gray et al.	-----	-----	6/21/1982
		4,656,624	4/7/1987	Collins et al.	-----	-----	5/3/1985
		4,755,872	7/5/1988	Bestler et al.	-----	-----	7/29/1985
		4,782,508	11/1/1988	Borchering et al.	-----	-----	3/3/1986
		Re. 34,587	4/19/1994	Crane et al.	-----	-----	4/19/1994
		3,689,703	9/5/1972	Allen et al.	-----	-----	9/5/1972
		3,752,904	8/14/1973	Waterbury	-----	-----	8/9/1971
		4,531,023	7/23/1985	Levine	-----	-----	8/13/1982
		4,612,416	9/16/1986	Emerson et al.	-----	-----	1/22/1985
		4,763,353	8/9/1988	Canale et al.	-----	-----	2/14/1986
		5,402,472	3/28/1995	McLampy et al.	-----	-----	4/23/1992

FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION	
							YES	NO
		54-061807	5/18/1979	Japan			X (abstract only)	
		55-010246	1/24/1980	Japan			X (abstract only)	

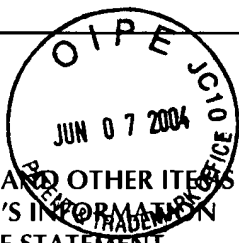
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<b>FORM PTO-1449</b>  <b>SUPPLEMENTAL XV</b>  <b>LIST OF PATENTS AND OTHER ITEMS</b> <b>FOR APPLICANT'S INFORMATION</b> <b>DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)	<b>ATTY. DOCKET NO.</b> 6646-114N8	<b>SERIAL NO.</b> 09/835,146
	<b>APPLICANT:</b> RONALD A. KATZ	
	<b>FILING DATE:</b> April 13, 2001	<b>GROUP:</b> 2643



		56-044958	4/24/1981	Japan			X (abstract only)	
		57-045767	3/15/1982	Japan			X (abstract only)	
		57-162867	10/6/1982	Japan			X (abstract only)	
		01-098362	4/17/1989	Japan			X (abstract only)	
		62-038933	02/19/1987	Japan			X (abstract only)	

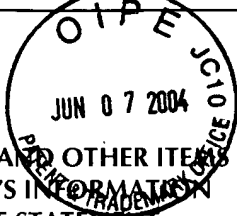
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**JUL 07 2004**

**Technology Center 2600**

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)		
		Steven C. Grant and Yvonne Brooks Grant, <i>The Teleconnect Guide to Automatic Call Distributors</i> , 2 <sup>nd</sup> Ed. January 1985, ("The Teleconnect Guide")
		<i>Special Feature: The Automated Switchboard Attendant in the Telemanagement Report</i> , pp. 49-56, Vol. 2, No. 5 (15), June 1984 ("The Telemanagement Report")
		Via Cable, Vol. 2, No. 7 (November 1982)
		Via Cable, Vol. 3, No. 1 (December/January 1983)
		CableData U.S. Computer System Annual Report (1982)
		Letter from Douglas Semon, Director of Engineering, New Technology Development, Viacom Cable to Mr. Semir Serazi, CATV Division, Zenith Electronics Corp., dated February 22, 1985
		Letter from Andrew Paff, Manager, New Business Development to Donna Brickell, Project Manager, Pacific Bell, dated May 21, 1985
		<i>A Trick of a National Pay-Per-view Ordering and Billing System</i> , published by the 1986 Convention Technical Program Committee of the National Cable Television Association (March 1986)
		Viacom Cable Memo dated May 30, 1986
		Customer Interface User Manual dated October 18, 1986
		Viacom Memo dated November 26, 1986
		Undated document entitled "Pacific/CATV Hybrid Pay-Per-View Feature"
		The Yankee Group, "Cable and the Telcos: From Confrontation to Détente," - Jun. 1983, pp. 162-167
		"The Voice," VCT Quarterly Newsletter, Volume 1, No. 2, Winter 1986, pp. 1-6 (Vz Cal 291279-291284)

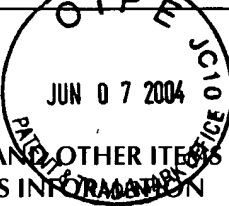
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EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with next communication to applicant	

<b>FORM PTO-1449</b>  <b>SUPPLEMENTAL XV</b>  <b>LIST OF PATENTS AND OTHER INFORMATION FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b>  (Use several sheets if necessary)		<b>ATTY. DOCKET NO.</b> 6646-114N8	<b>SERIAL NO.</b> 09/835,146
	<b>APPLICANT:</b> RONALD A. KATZ		
	<b>FILING DATE:</b> April 13, 2001	<b>GROUP:</b> 2643	<b>RECEIVED</b>  JUL 07 2004  Technology Center 2600

		"The Voice," VCT Quarterly Newsletter, Volume 2, No. 3, Winter 1987, pp. 1-6 (Vz Cal 291273-291278)
		Reisman, Bert, "New IBM Audio Response Unit Enables Computer To Answer Information Inquiries With Voice Messages," IBM Technical Information, January 24, 1964, pp. 1-3 (press release) (Vz Cal 114854-114856)
		"IBM system/360 Component Description, IBM 7772 Audio Response Unit," IBM Systems Reference Library, File Number S360-09, Form A27-2711-0, 1966, pp. 5-29 (Vz Cal 92638-92669)
		"The Mississauga Transit Demonstration of the Automatic Bus Passenger Information Concept," Prepared for the Urban Transportation Research Branch of Canadian Surface Transportation Administration Transport Canada, Montreal, Quebec, March 1979, 10 pages (Vz Cal 114898-114906)
		Oliver, G.P., "Architecture of System X, Part 3-Local Exchanges," <i>POEEJ</i> , Vol. 73, April 1980, pp. 27-34 (Vz Cal 92702-92709)
		Letter from Murphy (ASI Teleprocessing) to Koprucu (International Tech) re ASI Teleprocessing and its SolidVoice System, 5/27/80 (Vz Cal 134785)
		Shepard, H., et al., "Functional Specification for Bank of America, EBR - Bank Card Systems, San Francisco, California, August 8, 1980," August 8, 1980 (Vz Cal 137696-137721)
		"Calling Card Service Debuts in St. Louis, Marks a significant change in customer calling service," <i>Bell Labs News</i> , October 5, 1961?, 2 pages (Vz Cal 134090-134091, and duplicate under Vz Cal 93043-93044)
		"BT-II Data Entry/Voice Response Processor," PTC, Perception Technology Corporation, 6 pages (Vz Cal 133904-133909)
		Special Edition: 1983 Buyer's Guide Issue, <i>Speech Technology</i> , Math/Machine Voice Communications, Vol. 1, No. January/February 1983, 9 pages (introductory pages for the following articles) (Vz Cal 80988-80996)
		Lea, Wayne, "Selecting the Best Speech Recognizer for the Job," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 10-29 (Vz Cal 80997-81016)
		Voiers, William D., "Evaluating Processed Speech Using the Diagnostic Rhyme Test," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 30-39 (Vz Cal 81017-81026)
		Rubinchek, Benjamin, "Toward Standards for Speech I/O Systems," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 40-42 (Vz Cal 81027-81031)
		Sorace, R.E., et al., "Interactive Voice and Video Game Shows Off Speech Recognizer Advances," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 45-53 (Vz Cal 81032-81041)
		"Voice Leaders Speak Out," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 55-69 (Vz Cal 81042-81056)
		Bell, Donald, et al., "Designing Experiments to Evaluate Speech I/O Devices and Applications," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 70-79 (Vz Cal 81057-81066)
		Stoughton, Alan M., "Personal Computers Deliver Economical Speech Aids to the Handicapped," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 80-88 (Vz Cal 81067-81075)
		DeSipio, Richard G., et al., "Avionics System Plays 'Ask and Tell' with Its Operator," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 89-93 (Vz Cal 81076-81080)
		Baker, Janet M., et al., "Aspects of Stochastic Modeling for Speech Recognition," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 94-97, 105-106 (Vz Cal 81081-81087)
		Pruhl, Dale W., "Signal Squeezing Produces High-Quality Speech in PCM Systems," <i>Speech Technology</i> , Jan/Feb. 1983, pp. 107-115 (Vz Cal 81088-81096)

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	<b>APPLICANT:</b> RONALD A. KATZ		
	<b>FILING DATE:</b> April 13, 2001	<b>GROUP:</b> 2643	<b>RECEIVED</b>  JUL 0 7 2004 Technology Center 2600

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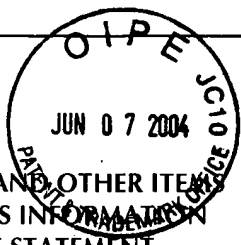
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**I. Supplemental XIV****a. Other Documents**

<i>Name</i>	<i>File Type</i>	<i>Size</i>	<i>Date of Creation</i>
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## c. Other Documents

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